



In the United States Patent and Trademark Office

Application No.: 10/060,067  
Filed: 1/29/2002  
Title: Floating Optical Carrier  
Applicant(s): Kristofer Mortzheim, Kelvin Chau  
Examiner: Not Yet Assigned  
Art Unit: 2874

Mailed 5/31/2002  
Fremont, CA

**Information Disclosure Statement**

Commissioner of Patents and Trademarks  
Washington, District of Columbia 20231

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon. It is requested that the document(s) on the enclosed form be made of record.

**Part I (Authority)**

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), or a certification according to 37 C.F.R. § 1.97(e).

( ) 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$180) and a certification according to 37 C.F.R. § 1.97(e).

**Conditional Petition**

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## Part II (Payment)

A check is enclosed as indicated:

- ☒ (X) No fee is due.
- ☐ ( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$180).
- ☐ ( ) The petition fee specified in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$180).

## Part III (Certification)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ (X) No certification is necessary.
- ☐ ( )
  - (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
  - ☐ ( ) The "communication from a foreign patent office" referred to in the certification is an International Search Report, issued by the European Patent and Trademark Office in its capacity as an International Search Authority.
  - ☐ ( ) The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendant application of the application for which this information disclosure statement is filed.
- ☐ ( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

## Part IV (Additional Statement)

An additional statement regarding these items of information ( ) is, ( ) is not, enclosed.

Copies of the cited art ( ) are enclosed, (X) are of record in parent application Serial No. 09/514,424 and will be provided if the Examiner deems it convenient.

Dated: 5/31/2002

Respectfully submitted,



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FORM PTO-1449US DEPARTMENT OF COMMERCE MAY 31 2002		ATTY. DOCKET NO. Onx-103/CIP	SERIAL NO. 10/060,067
<b>LIST OF PRIOR ART CITED BY APPLICANT</b> (Use several sheets if necessary)		APPLICANTS Kristopher Mortzheim, Kelvin Chau	
		FILING DATE 1/29/2002	GROUP 2874

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	A	4	7	5	8	0	6	3	7/19/1988	Konechny	350	96.20	5/20/1986
	B	5	8	6	4	6	4	2	1/26/1999	Chun et al	385	14	2/10/1997
	C	5	6	9	2	0	8	4	11/25/97	Roff	385	88	06/11/96
	D	5	3	8	8	1	7	4	02/07/95	Roll et al	385	80	01/27/94
	E	5	7	6	8	4	5	6	06/16/98	Knapp et al	385	49	11/22/96
	F	5	0	2	6	1	3	8	06/25/91	Boudreau et al	350	96.20	08/29/89
	G	5	0	4	2	7	0	9	08/27/91	Cina et al.	228	105	06/22/90
	H	4	2	4	0	0	9	8	12/16/80	Zory et al	357	74	09/28/78
	I	4	3	4	7	6	5	5	09/07/82	Zory et al	29	589	05/05/80
	J	4	7	6	3	4	1	2	08/16/88	Basavanhally et al	29	845	06/26/86
	K	5	2	4	7	5	9	7	09/21/93	Blacha et al.	385	88	06/15/92
	L	5	6	1	1	0	0	6	03/11/97	Tabuchi	385	14	07/15/94

### FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

### OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

K	Marchand et al., Packaging for 3D Optoelectronic Stacked Processors, Jan.1999, pp 142-147. Part of the SPIE Conference on Photonics Packaging and Integration
L	
M	
N	

EXAMINER	DATE CONSIDERED
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\* **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.